



Introduction

The purpose of this Plan is to:

- A. Communicate the Fermi Area Office's (FAO) mission, functions, goals and objectives to:
 - 1. Other Chicago Operations Office (CH) organizations
 - 2. Other U. S. Department of Energy (DOE) organizations, including the Office of Science which is FAO's principal customer
 - 3. Universities Research Association, Inc. which is under contract with DOE to manage and operate Fermi National Accelerator Laboratory (Fermilab)
 - 4. Fermilab
 - 5. Stakeholders who include regulators, state and local governments, Congress, other federal agencies, the national and international high energy community, the local community that surrounds the Fermilab site, and taxpayers.
- B. Establish FAO goals, objectives, and implementation strategies for FY 2001
- C. Provide a common understanding that allows DOE, URA, and Fermilab to work together to execute and support the DOE science mission.

It is expected that this Plan will be a living document that will be modified as needed to reflect FAO experience, changes in customer expectations, changes in direction from DOE management, stakeholder feedback, and assessment results.

Mission, Functions, Expectations, and Values

<u>Mission</u>

The FAO mission is to provide DOE line management oversight of Fermilab operations; foster and maintain an environment that is conducive to conducting safe, cost-effective, world class, high energy physics research; and to assist the United States in meeting its international commitments in the high energy physics arena. Our technical and business management team integrates program and operational requirements to ensure that the DOE and national high energy physics mission is accomplished.

Functions

To accomplish the above mission, FAO performs a number of functions. An overarching responsibility is to negotiate, award, and administer the performance-based management contract for the safe, effective, and efficient operation of Fermilab. This responsibility includes the following:

- A. Perform institutional and business related functions that include, but are not limited to:
 - 1. Approving the Fermilab management and operating (M&O) contractor's management systems;
 - 2. Establishing performance objectives and measures for the M&O contract;
 - 3. Evaluating the Fermilab M&O contractor's performance and providing periodic feedback and direction if necessary;
 - 4. Serving as Contracting Officer and Contracting Officer's Technical Representative;
 - 5. Determining applicability of DOE policies, direction, and guidance:
 - 6. Maintaining effective working relationships with SC, other DOE organizations, the M&O contractor, and appropriate federal, state, county, and local agencies;
 - 7. Maintaining effective community relations; and,
 - 8. Integrating competing and/or conflicting interests/programs/requirements.
 - 9. Authorizing and implementing work authorizations.
 - 10. Conducting an operational awareness program for Fermilab business functions.
- B. Promote safe facility operations, environmental compliance, and effective safeguards & security and cyber security programs by:
 - 1. Reviewing and maintaining an agreed-upon set of standards for each of these areas:
 - Performing validations of individual systems that comprise the Fermilab Integrated Safety Management program and assessments in functional areas;

- 3. Conducting routine operational awareness activities (maintaining awareness of planned activities through Facility Representatives and day-to-day interactions with Fermilab by subject matter experts);
- 4. Ensuring Fermilab operations (including construction activities) are properly authorized (e.g., conducting NEPA reviews; ensuring that permits are obtained and adhered to; reviewing safety assessment documents and approving appropriate safety envelopes; ensuring that standards are followed; conducting operational readiness reviews; and ensuring that hazard analyses are completed for the work);
- Communicating associated performance objectives, developing measures, assessing performance, and providing feedback on areas for improvement; and
- 6. Conducting operational awareness reviews in accordance with FAO's Operational Awareness Program Plan.
- C. Ensure that Fermilab infrastructure and facilities are sufficient and appropriate to meet the Fermilab programmatic mission by:
 - 1. Developing a Comprehensive Land Use Plan for:
 - Utilization of real estate and facilities
 - Required upgrades to utilities
 - Plans for new facilities
 - 2. Executing projects that support action defined in the Comprehensive Land Use Plan.
 - 3. Evaluating progress
- D. Perform federal project management services which include:
 - 1. Planning, implementing, and completing assigned projects;
 - 2. Defining project objectives, scope, cost, and schedule;
 - 3. Overseeing design, construction, environmental, safety, and health efforts performed by DOE contractors; and,
 - 4. Serving as the single point of contact between Federal and contractor staff for all matters relating to the projects.

In addition to its responsibilities with respect to Fermilab, FAO provides federal project management services for the DOE and National Science Foundation (NSF) for U. S. participation in the Large Hadron Collider at CERN (European Laboratory for Particle Physics).

Expectations

In conducting its mission and functions, FAO will partner with SC, other CH organizations, Fermilab, and URA to meet the following expectations that SC has identified for the management of the national laboratories:

- A. Science and Technology perform and support outstanding science and technology. Develop and support leading edge enabling technologies that are critical to the DOE program sponsor needs and the nation.
- B. Leadership provide leadership that ensures excellence, relevance, and stewardship in all aspects of the conduct of program activities.
- C. ES&H ensure the safety and health of the workforce and members of the public and the protection of the environment in all program activities.
- D. Infrastructure maintain the infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner.
- E. Business Operations use efficient and effective corporate management systems and approaches to guide decision-making, streamline and improve operations, align resources and reduce costs, and improve the delivery of products and services.
- F. Stakeholder Relations be a good neighbor. Work with the customers, stakeholders, and neighbors in an open, frank, and constructive manner.

Values

As a member of the DOE Chicago Operations Office (CH) management team, we share the following values:

- We are customer-driven
- We value public safety and respect the environment
- We believe people are our most important resource and should be treated with fairness, respect, and dignity
- We value creativity and innovation
- We are committed to excellence
- We work as a team and advocate teamwork
- We recognize that leadership, empowerment, and accountability are essential
- We pursue the highest standards of ethical behavior
- We are good neighbors and model community citizens

FY 2001 Goals and Performance Objectives

As a member of the CH management team, we are committed to achieving excellence and dynamic leadership in delivering the missions of the DOE. To achieve this excellence and leadership, we will actively strive to support the four key CH initiatives:

- One Chicago: CH will honor our values and work together to achieve common goals and objectives, making full use of our resources and competencies to deliver the highest quality products and services
- <u>Performance-Based Management</u>: <u>CH is driven to achieve</u> customer success with strategically integrated <u>principle-</u> and results-based <u>management</u> systems and processes, including: <u>planning</u>, <u>development</u>, <u>execution</u>, <u>and</u> <u>performance evaluation</u>
- Integrated Operations: CH will make full use of an integrated management system, supported by an information architecture optimized to ensure maximum efficiency (productivity) and effectiveness (quality) in its delivery of services and products
- <u>Strategic Partnerships:</u> CH is a Leader committed to innovation, action and results, building a culture of trust and strong innovative and strategic alliances with traditional and non-traditional partners

FAO will support these initiatives and the SC expectations for its national laboratories through the following goals and objectives. The specific FY 2001 implementation strategies for these goals and objectives are contained in Appendix A.

Goal 1: Effectively manage the performance-based contract with URA.

Objective 1: Meet DOE, SC, and CH institutional and business operation expectations.

Objective 2: Promote safe facility operations, environmental compliance, and effective safeguards & security and cyber security programs.

Objective 3: Ensure that the scope, schedule, and cost of Fermilab projects are effectively managed.

Objective 4: Ensure that the Fermilab infrastructure and facilities are sufficient to meet the Fermilab programmatic mission.

Objective 5: In partnership with Fermilab, integrate FAO into the Fermilab community involvement and outreach activity program.

Goal 2: Effectively manage the U. S. LHC projects on behalf of DOE and NSF

Objective 1: Ensure that the U. S. LHC projects assigned to FAO are properly defined with realistic technical, cost, and schedule objective. **Objective 2:** Manage technical, cost, and schedule baseline change control for the U. S. LHC projects.

Goal 3: Promote excellence and leadership

Objective 1: Develop FAO staff capabilities.

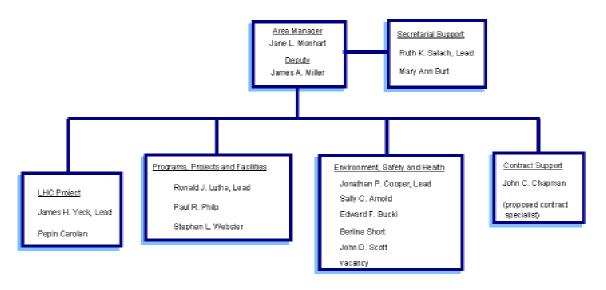
Objective 2: Recognize and reward accomplishments.

Objective 3: Monitor FAO performance.

Organization and Resources

To accomplish its mission, FAO has a staff of 16 individuals who are supplemented by matrix support from the Chicago Operations Office. The FAO is organized as follows:

U.S. DEPARTMENT OF ENERGY CHICAGO OPERATIONS OFFICE FERMI AREA OFFICE



FTE Requirements

In addition to these 16 FTE's, a new developmental position in the business arena is desirable from a succession planning perspective. Such a position will ensure that FAO business capabilities remain strong over the next five years.

A Contract Specialist developmental position is proposed that would include a broad range of other administrative functions such as property, financial, human resources, and any other administrative support areas as appropriate. Such a position will also reduce the amount of business and administrative responsibilities that are currently performed by the ES&H Team and the Project and Facilities Team.

FAO will request such a position from the CH Resource Management Committee. **(February 2001)**

Funding Requirements

Following is the proposed FY 2001 support budget for FAO. This budget is expected to be sufficient to meet FAO needs except for the new position described above and the possible change of station costs to fill a current vacancy.

Salaries and Benefits	\$1,414,000
Awards	14,000
Travel	55,000
Training	6,000
ADP Equipment	10,000
Contractual Support and Services	35,000*
Support Service Contractors	25,000
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^{*} Includes funding for office upgrades, including an office to support the CH Telecommuting Program.

Future funding requirements

Potential new position (one half FTE)	43,000
Possible change of station	70,000

Recommended:

Jane L. Monhart

Manager, Fermi Area Office

Approved:

Marvin E. Gun⁄n/Jr.

Manager, Chicago Operations Office

APPENDIX A

FY 2001 IMPLEMENTATION STRATEGIES

Goal 1: Effectively manage the performance-based contract with URA

Objective 1: Meet DOE, SC, and CH institutional and business operation expectations

FY 2001 Implementation Strategy

- A. Negotiate a 5-year extension to the current contract in a manner that meets the objectives established by the Secretary of Energy (July 2001)
- B. Evaluate URA/Fermilab's FY 2000 performance (March 2001)
- C. Negotiate FY 2002 Fermilab performance objectives and measures and self assessment program (**September 2001**)
- D. In conjunction with the Operational Awareness Program, review Fermilab's subcontractor oversight and administration program (June 2001)
- E. Provide feedback on Fermilab's FY 2001 performance through regularly scheduled weekly meetings with laboratory management, periodic meetings with URA management, and assessment reports. **(On-going)**
- F. Provide support to CH information architecture and system initiatives.(as needed)
- G. Conduct self-assessments for DOE functions utilizing the Balanced Scorecard criteria as applicable. (September 2001)

Objective 2: Promote safe facility operations, environmental compliance, and effective safeguards & security and cyber security programs.

- A. Through its Operational Awareness Program, conduct assessments/reviews of Fermilab's systems/programs as follows:
 - 1. Fermilab Lessons Learned Review (February 2001);
 - 2. 10 CFR 835 & PAAA Implementation (March 2001);
 - 3. Subcontractor Oversight and Administration Program (June 2001);
 - 4. Affirmative Procurement Program (June 2001);
 - 5. Ground Water Monitoring Program (September 2001);

- 6. Operational Emergency Base Program (September 2001);
- 7. Participation in Tripartite Assessment activities with Fermilab about 20 separate scheduled reviews during the year. **(on-going)**; and
- 8. Participation in Fermilab's division/section OSHA walk-through program (about 100 separate scheduled walk-throughs during the year). **(on-going)**
- B. Fully implement and strengthen our Facility Representative Program through:
 - 1. Hiring a second Facility Representative (March 2001);
 - 2. Fully qualifying a second Facility Representative (September 2001);
 - Setting up a more user-friendly database for more efficient documentation of day-to-day interactions and issues in assigned divisions/sections (September 2001);
 - 4. Participating in at least 10 of the items mentioned in A.5 above (on going during the year); and
 - 5. Reviewing/Revising the Facility Representative Program, as needed (June 2001).
- C. Ensure Fermilab operations (including construction activities) are properly authorized and compliant by:
 - 1. Conducting NEPA reviews for new activities (as needed);
 - 2. Obtaining all necessary permits for these activities and assessing compliance against permit conditions (as needed);
 - 3. Participating in readiness reviews, reviewing safety assessment documentation (SAD) for CDF and D-Zero, concurring in the SADs, and approving accelerator safety envelope(s) for Run II (March 2001).
- D. Review new/modified work activities routinely and maintaining an agreed-upon set of standards to cover these by:
 - 1. Formal annual review of the Work Smart Set of ES&H standards (August 2001); and
 - 2. Review of new DOE directives in ES&H, Safeguards and Security, cyber security, etc., for inclusion in contract **(on-going activity)**.
- E. Monitor Fermilab's implementation of its approved Cyber Security Plan to ensure that there is adequate protection to the Fermilab mission. This will include:
 - Meeting with Fermilab key cyber security personnel to discuss the status of Fermilab cyber security program and any issues. (monthly)
 - 2. Participating in DOE cyber security teleconference calls. (bi-weekly)
 - 3. Providing a Fermilab cyber security briefing to the CH Manager. (March 2001)
- F. Review/Revise/Update FAO ES&H documents:

- 1. FAO Emergency Plan (March 2001);
- FAO standard operating procedures in need of annual review (April 2001);
- 3. FAO Operational Awareness Plan (June 2001); and
- 4. FAO Functions, Responsibilities, and Authorities Manual (FRAM). **(May 2001)**
- G. Perform annual self-assessment of FAO oversight activities in the ES&H arena. (September 2001).

Objective 3: Ensure that the scope, schedule, and cost of Fermilab projects are effectively managed.

FY 2001 Implementation Strategy

Perform project management oversight of on-going Fermilab projects (CDF, D-Zero, NuMI/MOINOS, Wilson Hall, Mini-Boone, AIP and GPP) and future projects, as applicable, by:

- A. Conducting baseline reviews (against Project Execution and Project Management Plans). During FY 2001, NuMI/MINOS will be re-baselined. (June 2001)
- B. Approving engineering change requests and baseline change control proposals (as needed)
- C. Authorizing project funds through directives (as needed)
- D. Monitoring project status through safety walk-throughs (bi-weekly or as necessary) and project reviews (on-going).
- E. Submitting status reports to DOE/HQ. (quarterly)
- F. Participating in FY 2003 budget process. (March-April 2001)
- G. Preparing documentation for and concurring in critical decisions (CDs). CD-4 for CDF and D-Zero will occur this year. (February 2001)

Objective 4: Ensure that the Fermilab infrastructure and facilities are sufficient to meet the Fermilab programmatic mission.

FY 2001 Implementation Strategy

Perform Contracting Officer responsibilities for the Utilities Incentive Program (UIP) and oversee Fermilab administration of the Program. The FY 2001 objectives for the UIP are:

- A. Review and provide feedback on Fermilab's Comprehensive Land Use Plan (July 2001)
- B. Execute UIP agreements for FY 2001 (November 2000)
- C. Review and approve baseline changes to the UIP (as needed)
- D. Monitor and evaluate progress, perform safety walk-throughs (bi-weekly)
- E. In partnership with Fermilab, plan the FY 2002 UIP program (September 2001)
- F. Provide leadership role in UIP workshop jointly sponsored by the Office of Science, Federal Energy Management Program, Fermilab Area Office, and Fermilab (August 2001).

Objective 5: In partnership with Fermilab, integrate FAO into the Fermilab community involvement and outreach activity program

FY 2001 Implementation Strategy

Initiate and build a relationship with community and local government organizations by:

- A. Interacting with local homeowners during at least one Homeowner Association meeting. (September 2001)
- B. Interacting with local governmental leaders through periodic meetings of the DuKane Valley Council. (September 2001)
- C. Participating in the CH Speaker's Bureau as it is developed and implemented.
- D. Encouraging Fermilab efforts to develop an appropriate and effective community involvement mechanism/forum, working in close partnership with the CH Office of the Manager Communications. **(on-going)**

Goal 2: <u>Effectively manage the U.S. LHC projects on behalf of DOE and NSF.</u>

Objective 1: Ensure that the U.S. LHC projects assigned to the Fermi Area Office are properly defined with realistic technical, cost, and schedule objectives.

- A. Conduct baseline reviews and assessments. **(As scheduled, semi-annually** for each project: U. S. ATLAS, U. S. CMS and U. S. LHC Accelerator)
- B. Recommend approval of project baselines for the U.S. LHC Research Program including:

- 1. U.S. ATLAS Software & Computing Project
- 2. U.S. CMS Software & Computing Project
- 3. U.S. ATLAS Pre-operations and Operations Project
- 4. U.S. CMS Pre-operations and Operations Project
- 5. U.S. LHC Accelerator Pre-operations and Operations Project
- Ensure project management planning documentation (project execution plan, project management plans) is revised as necessary to support U. S. LHC Research Program goals. (July 2001)

Objective 2: Manage technical, cost, and schedule baseline change control for the U.S. LHC projects.

Perform project management oversight of U. S. LHC construction and research program projects.

FY 2001 Implementation Strategy

- A. Ensure that appropriate change control processes are defined including:
 - 1. Change control items
 - 2. Change control thresholds including approval authority
 - 3. Change control documentation
- B. Ensure that project baselines are current and accurate for the three U. S. LHC construction projects and the five projects that make up the U. S. LHC research program. **(on-going)**
- C. Monitor and review project status regularly. (quarterly)
- D. Submit status reports to DOE/HQ as required or requested. (quarterly)
- E. Interface regularly with DOE/NSF LHC Program (bi-weekly and as necessary) and Joint Oversight Group management. (semi-annually and as necessary)

Goal 3: <u>Promote excellence and leadership</u>

Objective 1: Develop FAO staff capabilities

- A. Prepare an Individual Development Plan for each individual. (March 2001)
- B. Encourage participation in DOE activities at other sites. (on-going)

C. Provide FAO staff with assignments that involve subjects and/or issues that are over and above their immediate responsibilities or areas of expertise. **(on-going)**

Objective 2: Recognize and reward accomplishments

FY 2001 Implementation Strategy

- A. Provide public recognition for achievements. (as appropriate)
- B. Provide monetary and other rewards for significant contributions to the mission. (as appropriate)

Objective 3: Monitor FAO Performance

- A. Review Business Plan status at weekly staff meetings. (on-going)
- B. Conduct FAO senior staff reviews of the Business Plan status. (Quarterly)